

Probationary Status for DDDS Contractors:

The following protocol shall be used when determining Probationary Status for a DDDS Provider. The Division Director will review all requests for Probationary Status and will have final say in all stages of the process.

1. **Triggering Event:** A DDDS staff member may request a meeting with other DDDS staff when an event or series of events brings an organization or one of its programs to the attention of DDDS due to poor performance and/or events that have or may result in serious injury or harm to individuals served by a DDDS contractor. This includes but is not limited to:
 - a. Two Provisional Certifications in a row for a program;
 - b. Two or more poor individual outcome surveys for two or more individuals living in the same residence;
 - c. Three reportable incidents within a 90 day period at the same program or within the same organization that are substantiated by DDDS as “abuse, neglect, mistreatment” in accordance with DDDS reportable incidents policies;
 - d. Fiscal practices that result in misappropriation of client funds or raise other concerns about misappropriation of DDDS funds;
 - e. Combination of a Provisional Certification (**1st 90 days**) and any adverse event described in 1.b, 1.c and/or 1.d of this protocol.
 - f. Any other event that DDDS Leadership believes requires a rigorous review of an organization or program.

2. **Meeting to Review Triggering Event(s):** The DDDS staff person requesting the meeting will discuss their concerns with their immediate supervisor. The staff person and immediate supervisor will make a request to the Office of Quality Improvement to form a team of DDDS staff members to review the organization and/or program in question. The team shall:
 - a. Meet to review the data that supports a closer review of the organization and/or program;
 - b. Discuss whether or not probation is warranted based on the data presented;
 - c. Determine whether or not there are activities that the organization/program must complete in order to divert probation;
 - d. Designate an individual from the Office of Quality Improvement to assume the role of Team Leader. The Team Leader will:
 - i. Share concerns and recommendations for probation with the Division Director;
 - ii. Communicate with the agency to discuss concerns related to the triggering event(s);

- iii.* Continue to coordinate the assembly of individuals involved in the process; and
- iv.* Prepare a written plan to be presented to the organization/program that outlines the activities discussed by the team and timelines for completion of these activities. The name and contact information for the individual from the Office of Quality Improvement who will conduct follow up with the agency will be included in the written document.

3. Establishing Probationary Status: When a recommendation for probation is supported by the Division Director, the Team Leader will:

- a.* Make contact with the agency to schedule a meeting with the organization and the DDDS team;
- b.* Prepare a written notice of probation from the Office of the Director to be presented to the organization/program that outlines the activities discussed by the team and timelines for completion of these activities. Timelines will include:
 - i.* An initial probationary period of six (6) months;
 - ii.* The agency's plan to remedy the concerns that triggered Probation in the form of a Quality Improvement Plan submitted to the Division's Office of Quality Improvement within ten (10) days of the meeting including:
 - 1. A timeline for completion of each intervention outlined in the Quality Improvement Plan; and
 - 2. Outlines the agency's in house plan for continuous Quality Improvement including the process(s) by which the organization will measure progress.
 - iii.* Monthly reports shall be submitted by the organization to the Division's Office of Quality Improvement that address:
 - 1. A summary of each intervention discussed in 3.ii of this protocol;
 - 2. Progress made after the plan is implemented;
 - 3. Areas where the plan of improvement is being revised in response to in-house QI activities that are not producing a positive response within ninety (90) days of initiating the QI plan.
- c.* The written notice of probation from the Office of the Director will include a statement alerting the organization to the fact that they will not be able to accept new referrals during the probationary period.
- d.* The Team Leader will provide the organization with the name and contact information for the individual from the Office of Quality Improvement who will conduct follow up with the agency;
- e.* The Team Leader will continue to coordinate the assembled team at intervals decided upon by the team.

4. **Probation Period:** DDDS may perform random, unannounced visits to programs within the organization and specifically:
 - a. At ninety (90) days to evaluate the progress of the QI plan. A written report will be sent to the DDDS team with an update on progress; and
 - b. Approximately 20 days prior to the completion of the probationary period to evaluate the progress of the QI plan. A written report will be sent to DDDS staff and updates on progress shared.
 - c. The Team Leader will assemble the team who will:
 - i. Discuss progress or lack of progress made by the agency during the six (6) month probationary period;
 - ii. Determine if it is appropriate to lift or extend probation.
 - d. The Team Leader will organize a meeting with the organization and the team to discuss the disposition of probation.

5. **Extension of Probation:** When Probation is extended, the Team Leader will prepare a written notice of the extension of probation. The written notice will:
 - a. Alert the program to the fact that DDDS may extended probation for up to six (6) additional months;
 - b. Alert the program to the fact that failure to meet the expectations of the extended probation may result in a termination of the organization's contract;
 - c. Outline the information to be included in the organization's updated Quality Improvement Plan that identifies the continued areas that need to be addressed with new interventions that will support success. The updated QI plan will be submitted to the Division's Office of Quality Improvement within 10 days of the meeting.
 - d. Request an updated internal QI plan to be submitted to the Division's Office of Quality Improvement that identifies how interventions will be measured for progress; and
 - e. The need to continue to submit monthly reports to the Office of Quality Improvement summarizing progress or lack of progress made as determined by internal QI processes.

6. **Appeal Process:** The Team Leader will provide the name and contact information for the Division Director to the organization in the event that the organization chooses to appeal probationary status.